

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>		Attorney Docket No. 20011/1474	
		First Inventor Peter C. Michels	
		Title <b>PROCESS FOR THE PRODUCTION OF PIPERIDINE DERIVATIVES WITH MICROORGANISMS</b>	
		Express Mail Label No. EV138586818US	

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 46] <i>(preferred arrangement set forth below)</i> - Descriptive title of the invention - Cross Reference to Related Applications <i>(if applicable)</i> - Statement Regarding Fed sponsored R & D <i>(if applicable)</i> - Reference to sequence listing, a table, or a computer program listing appendix <i>(if applicable)</i> - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <input type="checkbox"/> ] 5. Oath or Declaration [Total Pages 2] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Unsigned c. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies; or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies <div style="border: 1px solid black; padding: 2px; margin-top: 5px;"> <b>ACCOMPANYING APPLICATION PARTS</b> </div> 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment (3 pages) 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Nonpublication request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other: _____
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No.: 09/754,786 Prior application information:    Examiner: C. Chang    Group / Art Unit: 1625	
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.	

<b>19. CORRESPONDENCE ADDRESS</b>																									
<input type="checkbox"/> Customer Number or Bar Code Label	or <input checked="" type="checkbox"/> Correspondence address below																								
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Name</td> <td colspan="2">Nixon Peabody LLP</td> </tr> <tr> <td colspan="2">Address</td> <td colspan="2">Clinton Square, P.O. Box 31051</td> </tr> <tr> <td>City</td> <td>Rochester</td> <td>State</td> <td>NY</td> </tr> <tr> <td>Country</td> <td>USA</td> <td>Telephone</td> <td>(585) 263-1304</td> </tr> <tr> <td></td> <td></td> <td>Zip Code</td> <td>14603-1051</td> </tr> <tr> <td></td> <td></td> <td>Fax</td> <td>(585) 263-1600</td> </tr> </table>		Name		Nixon Peabody LLP		Address		Clinton Square, P.O. Box 31051		City	Rochester	State	NY	Country	USA	Telephone	(585) 263-1304			Zip Code	14603-1051			Fax	(585) 263-1600
Name		Nixon Peabody LLP																							
Address		Clinton Square, P.O. Box 31051																							
City	Rochester	State	NY																						
Country	USA	Telephone	(585) 263-1304																						
		Zip Code	14603-1051																						
		Fax	(585) 263-1600																						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Name (Print/Type)</td> <td>Michael L. Goldman</td> <td>Registration No. (Attorney/Agent)</td> <td>30,727</td> </tr> <tr> <td>Signature</td> <td colspan="2"></td> <td>Date</td> </tr> <tr> <td colspan="3"></td> <td>August 11, 2003</td> </tr> </table>		Name (Print/Type)	Michael L. Goldman	Registration No. (Attorney/Agent)	30,727	Signature			Date				August 11, 2003												
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Signature			Date																						
			August 11, 2003																						

03917 U.S. PTO

10/638841

08/11/03

# FEE TRANSMITTAL FOR FY 2003

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 966)

Complete if Known

Application Number Continuation of 09/754,786  
Filing Date Herewith  
First Named Inventor Peter C. Michels  
Examiner Name To Be Assigned  
Art Unit To Be Assigned  
Attorney Docket No. 20011/1474

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number 14-1138

Deposit Account Name Nixon Peabody LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	750
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ 750)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
32	-20** = 12	X 18	= 216
Independent Claims	2	-3** = 0	X 84 = 0
Multiple Dependent		X	= 0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 216)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	410	2252	205	Extension for reply within second month
1253	930	2253	465	Extension for reply within third month
1254	1,450	2254	725	Extension for reply within fourth month
1255	1,970	2255	985	Extension for reply within fifth month
1401	320	2401	160	Notice of Appeal
1402	320	2402	160	Filing a brief in support of an appeal
1403	280	2403	140	Request for oral hearing
1451	1,510	1451	1,510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive - unavoidable
1453	1,300	2453	650	Petition to revive - unintentional
1501	1,300	2501	650	Utility issue fee (or reissue)
1502	470	2502	235	Design issue fee
1503	630	2503	315	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))
1801	750	2801	375	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

## CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- ☐ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450
- ☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) \_\_\_\_\_

Date

Signature

Typed or printed name

## SUBMITTED BY

Name (Print/Type) Michael L. Goldman  
Signature *Michael L. Goldman*

Registration No. 30,727  
(Attorney/Agent)

## Complete (if applicable)

Telephone (585) 263-1304  
Date August 11, 2003

SEND TO: Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **20011/1474**  
APPLICANTS: **Peter C. Michels and Eric L. Zirbes**  
TITLE: **PROCESS FOR THE PRODUCTION OF PIPERIDINE  
DERIVATIVES WITH MICROORGANISMS**

Certificate is attached to the **Fee Transmittal (1 page) (in duplicate)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138586818US**

DATE OF DEPOSIT: **August 11, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Cheryl Sanders  
(Typed or printed name of person mailing  
paper or fee)

Cheryl Sanders  
(Signature of person mailing paper or fee)

**EXPRESS MAIL CERTIFICATE**

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APPLICANTS: Peter C. Michels and Eric L. Zirbes  
TITLE: **PROCESS FOR THE PRODUCTION OF PIPERIDINE  
DERIVATIVES WITH MICROORGANISMS**

Certificate is attached to the **Utility Patent Application Transmittal Letter**  
**(1 page) (in duplicate)** of the above-named application.

EXPRESS MAIL NUMBER: EV138586818US

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Cheryl Sanders  
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(Typed or printed name of person mailing  
paper or fee)

*Cheryl Sanders*  
\_\_\_\_\_  
(Signature of person mailing paper or fee)

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APPLICANTS: **Peter C. Michels and Eric L. Zirbes**

TITLE: **PROCESS FOR THE PRODUCTION OF PIPERIDINE  
DERIVATIVES WITH MICROORGANISMS**

Certificate is attached to the **Patent Application including specification, claims and abstract (46 pages)** as filed in the prior application of the above-named application.

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TITLE: **PROCESS FOR THE PRODUCTION OF PIPERIDINE  
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Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (2 pages)** as filed in the prior application of the above-named application.

EXPRESS MAIL NUMBER: **EV138586818US**

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DERIVATIVES WITH MICROORGANISMS**

Certificate is attached to the **Information Disclosure Statement (1 page) and PTO-1449 (1 page) (in duplicate) with 9 references (not attached)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138586818US**

DATE OF DEPOSIT: **August 11, 2003**

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(Typed or printed name of person mailing  
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Cheryl Sanders  
(Signature of person mailing paper or fee)

**EXPRESS MAIL CERTIFICATE**

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APPLICANTS: **Peter C. Michels and Eric L. Zirbes**  
TITLE: **PROCESS FOR THE PRODUCTION OF PIPERIDINE  
DERIVATIVES WITH MICROORGANISMS**

Certificate is attached to the **Preliminary Amendment (3 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EV138586818US**

DATE OF DEPOSIT: **August 11, 2003**

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